

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Andrew Doddington

Filing Date: Herewith

Attorney File No.: 14846-33

Entitled: METHODS AND SYSTEMS FOR USING XML
SCHEMAS TO IDENTIFY AND CATEGORIZE
DOCUMENTS

Assistant Commissioner for Patents
Washington, D.C. 20231

PETITION TO MAKE SPECIAL UNDER 37 C.F.R. § 1.102

SIR:

It is requested that the above-captioned patent application, filed herewith, be granted Special status for accelerated examination. As set forth in MPEP § 708.02(VIII), such a petition requires: (1) that all claims be directed to a single invention; (2) a pre-examination search; (3) copies of the references identified in the search deemed most closely related to the claimed subject matter; (4) a detailed discussion pointing out with particularity how the claimed subject matter is patentable over the references; and (5) the fee set forth in 37 C.F.R. 1.17(h). As set forth in more detail below, Applicants have complied with each of these requirements and granting of this Petition is respectfully requested.

I. APPLICANT'S CLAIMED INVENTION

Applicants' claimed invention is directed to methods and systems for using XML schemas to identify and categorize documents. An obtained document is matched against a plurality of XML schemas that specify a set of document types that are supported by a particular application, and, based on the results of these comparisons, information regarding the document type is outputted. The outputted information could include information regarding the identity of the document type. Furthermore, in the event that the document fails to match the schemas exactly, the document type which most closely matches the given document will be identified. In this case, a match score for the closest document will also be returned. A match score of zero

might indicate a perfect match and any positive value a mismatch, with the score value increasing with the degree of mismatch, for example. In various embodiments, the present invention can allow selection between alternative document types, based on the match score obtained for each type, as represented by its corresponding schema.

The current application comprises three independent claims. Independent claim 1 is directed to a method for using XML schemas to identify and categorize documents. Independent claim 14 is directed to a system for using XML schemas to identify and categorize documents. Independent claim 27 is directed to a computer-readable medium for storing instructions for carrying out the method steps of claim 1.

Should the Examiner determine that the claims are not directed to a single invention, Applicants will make an election without traverse according to established telephone-restriction practice. MPEP 708.02(VIII).

II. PRE-EXAMINATION SEARCH

A pre-examination search was performed by the professional search firm of Woolcott LLC (“Woolcott”) to locate the U.S. Patents and U.S. Patent Publications relevant to the inventive concept (the “Search”). Woolcott is located at 2001 Jefferson Davis Highway, Suite 411, Arlington, Virginia 22202, Tel: 800.223.9697, and has a web page address of <http://www.woolcott.com/index.html>.

Copies of Woolcott’s Search Report and the identified references are attached. As can be seen from the Search Report, the following classes and subclasses were searched.

Class	Subclasses
707	104.1, 100, 1

Woolcott pointed out four references deemed most closely related to the claimed subject matter:

- (1) U.S. Patent Publication 2003/0177341 (published Sept. 18, 2003) to Devillers;
- (2) U.S. Patent 6,601,075 (issued Jul. 29, 2003) to Huang et al. (“Huang”);
- (3) U.S. Patent Publication 2003/0145047 (published Jul. 31, 2003) to Upton; and
- (4) U.S. Patent Publication 2003/0177118 (published Sep. 18, 2003) to Moon et al. (“Moon”) (collectively referred to herein as the “Relevant References”). Each of the Relevant References is discussed in detail below.

Nothing in this Petition should be construed as an admission that any reference identified in the Search or discussed herein is available as prior art to the above-captioned application.

III. DETAILED DISCUSSION OF PATENTABILITY

The claimed subject matter of the above-captioned patent application is patentable over the Relevant References. Applicants provide detailed discussion in this Section that points out with particularity how the claimed subject matter is patentable over the Relevant References.

A. U.S. PATENT PUBLICATION 2003/0177341 (PUBLISHED SEPT. 18, 2003) TO DEVILLERS

The subject matter of the above-captioned patent application is patentable over Devillers. Among other deficiencies, Devillers does not disclose matching a document against a plurality of XML schemas that specify a set of document types.

Devillers discloses an XML schema syntactic analysis method which is used to carry out the syntactic analysis of a bit stream to produce a document.

Since Devillers does not teach or suggest Applicants' claimed invention, Applicants' invention as claimed is patentable over Devillers.

B. U.S. PATENT 6,601,075 (ISSUED JUL. 29, 2003) TO HUANG ET AL. ("HUANG")

The subject matter of the above-captioned patent application is patentable over Huang. Among other deficiencies, Huang does not disclose matching a document against a plurality of XML schemas that specify a set of document types..

Huang discloses a system and method for ranking and retrieving documents based on authority scores of documents and their schemas.

Since Huang does not teach or suggest Applicants' claimed invention, Applicants' invention as claimed is patentable over Huang.

C. U.S. PATENT PUBLICATION 2003/0145047 (PUBLISHED JUL. 31, 2003) TO UPTON

The subject matter of the above-captioned patent application is patentable over Upton. Among other deficiencies, Upton does not disclose matching a document against a plurality of XML schemas that specify a set of document types.

Upton discloses a system and method in which a schema can be used to ensure that a communication such as a request or response is in the proper format for one of the components.

The metadata can be transformed to a response document that conforms to a schema. The document can be validated against the schema and passed to the client application.

Since Upton does not teach or suggest Applicants' claimed invention, Applicants' invention as claimed is patentable over Upton.

D. U.S. PATENT PUBLICATION 2003/0177118 (PUBLISHED SEP. 18, 2003) TO MOON ET AL. ("MOON")

The subject matter of the above-captioned patent application is patentable over Moon. Among other deficiencies, Moon does not disclose matching a document against a plurality of XML schemas that specify a set of document types.

Moon discloses a system and method for classification of documents in which a classification engine executes a classify command from a client that makes use of similarity search results, and rules files, classes files, and a classification profile. When the classification receives a classification profile and input documents to be classified, it sends extracted values from the input documents based on anchor values to an XML transformation engine to obtain a search schema and classifies the input documents and anchor values according to the rules files, classes files, and the classification profile.


Since Moon does not teach or suggest Applicants' claimed invention, Applicants' invention as claimed is patentable over Moon.

Accordingly, because the Relevant References fail to teach or suggest one or more feature recited in the claimed subject matter, these references, either alone or in combination, would not have anticipated or rendered obvious the claimed subject matter.

IV. **CONCLUSION**

In view of the foregoing, Applicants' have met all the requirements for accelerated examination set forth in 37 C.F.R. § 1.102 and as detailed in MPEP § 708.02(VIII). Accordingly, Applicants respectfully request this case be made special for expedited examination. Please charge the required fee set forth in 37 C.F.R. § 1.17(h), estimated to be \$ 130.00, to Deposit Account No. 501358.

Respectfully submitted,



George D. Morgan
Reg. No. 46,505
Attorney for Applicant

October 27, 2003

LOWENSTEIN SANDLER PC
65 Livingston Avenue
Roseland, NJ 07068
Tel.: 973-597-6162